

Laboratory Records Management

Los Alamos National Laboratory

Laboratory Implementation Requirement LIR 308-00-02.0

Issue Date: 30 July 2001

Mandatory Document

Lessons Learned

Note: *[Click here](#)* for Lessons Learned *that may apply* to the requirements contained in this LIR.

1.0 Introduction

1.1 Background

This LIR specifies the requirements that shall be implemented for the management of Laboratory records. Records shall include information created and received in the course of conducting Laboratory programs and business. Records management serves to promote the creation, capture, use, and transfer of records and knowledge. It shall also serve to preserve and protect the Laboratory's archival and historical documents and information. Further, the management of records shall reduce the legal risk to the Laboratory when approved retention schedules are implemented. LANL's Records Management Program is designed to follow good business practices to ensure the protection of our corporate information assets.

This LIR replaces Notice 67, program requirements document, PRD115-02.0, and Director's Policy, DP115. This LIR shall be effective on date of issue and shall be fully implemented within 90 days.

This LIR complements the expectations contained in Laboratory performance requirement [LPR 308-00-00.0, "Quality"](#). ([Click here](#))

See Attachment for Recommended Major Implementation Criteria for Self-Assessment.

1.2 In this Document

Table of Contents		
Section	Title	Page
1.0	Introduction	1
2.0	Purpose	2
3.0	Applicability/Scope	2
4.0	Definitions/Acronyms	2
5.0	Implementation Requirements	4
6.0	References	7
7.0	Attachment	9

Laboratory Records Management

Los Alamos National Laboratory

Laboratory Implementation Requirement LIR 308-00-02.0

Issue Date: 30 July 2001

Mandatory Document

2.0 Purpose

This LIR provides a consistent set of requirements for records management and is applicable to all Laboratory records.

3.0 Applicability/Scope

The requirements shall apply to all Laboratory divisions, programs, organizations, personnel, and to all subcontractors under the terms and conditions of their individual contracts (Refer to Section 5.5).

4.0 Acronyms/Definitions

Business recovery – The process of restoring business operations following an emergency or disaster.

DIR, DLDs, ALDs, DDs, PDs, ODs, and GLs – Laboratory Director, Deputy Laboratory Directors, Associate Laboratory Directors, Division Directors, Program Directors, Office Directors, and Group Leaders.

Emergency operating records – Records, such as Emergency Management Plans, required to respond to emergencies or disasters.

Employees – All University of California (UC) and contractor personnel.

History Programs – Activities within the Laboratory Archives that analyze and document all aspects of past Laboratory work and programs.

Guidance note: IM-5 manages the Laboratory's History Programs.

IM-5 – The Information and Records Management Group.

Laboratory Archives – Records of the Laboratory that have historical value and document past administrative and technical activities.

Guidance note: Examples include, but are not limited to, the correspondence files of the Director's office, minutes of weapon committees, and the office files of individual scientists and administrators. IM-5 manages the Laboratory's Archives.

Moratoriums – Instructions from official sources designating that certain records shall NOT be destroyed until the moratorium is officially rescinded. Moratoriums supersede approved record keeping requirements.

Guidance note: The following are the moratoriums that are in effect as of the date of this LIR:

Laboratory Records Management

Los Alamos National Laboratory

Laboratory Implementation Requirement LIR 308-00-02.0

Issue Date: 30 July 2001

Mandatory Document

Epidemiological Investigations Moratorium - Issued in 1989 by DOE Secretary Watkins, the *Epidemiological Investigations Moratorium* requires that employee-related records containing exposure-related information from DOE and its contractors not be destroyed. This moratorium covers activities that could have had health implications for DOE employees or the public.

Nuclear Weapons Data Moratorium - Issued in August 1992 by Bruce Twining, ALO Manager, and re-affirmed in January 1997 by Vic Reis, Assistant Secretary for Defense Programs, requires that weapons-related information be kept until clear guidelines for retention and disposition are provided. This moratorium covers all records created and maintained by all DOE weapons program facilities. Steve Younger, ALDNW, has endorsed the moratorium to ensure that nuclear weapons information is not inadvertently destroyed.

Shadow Folders (Supervisor's Files) of Employees - Issued in 1995 by LANL's Legal Office requires that these files be kept until further notice.

Record – - By law, [44 USC 3301\(Click here\)](#), "records" includes all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them.

Guidance note: at LANL, it includes information, regardless of media type, including electronic, created or received in connection with the transaction of Laboratory programs and operations. Some examples include, but are not limited to, official correspondence and memoranda (including email), Laboratory notebooks, publications, project plans and reports, technical reports, maps, drawings, graphics, calculations, as-built specifications, photographs, film and video, microfilm, sound recordings, machine readable materials, completed Laboratory forms, and stack emission filter raw data.

Guidance note: Records are preserved as evidence of policies, decisions, operations, and procedures because of their informational and evidential value. Some examples include, but are not limited to, official correspondence and memoranda (including email), Laboratory notebooks, publications, project plans and reports, technical reports, maps, drawings, graphics, calculations, as-built specifications, photographs, film and video, microfilm, sound recordings, machine readable materials, completed Laboratory forms, and stack emission filter raw data.

Laboratory Records Management

Los Alamos National Laboratory

Laboratory Implementation Requirement LIR 308-00-02.0

Issue Date: 30 July 2001

Mandatory Document

Record Keeping Requirements – Statements in statutes, regulations, or directives, usually embedded in records retention schedules, providing general and specific requirements on the management of records created or received by the Laboratory.

Records Center – A facility for the storage of records.

Guidance note: IM-5 manages the Laboratory's institutional Records Center.

Records Management – A documented process that defines the planning, controlling, directing, organizing, training, promoting, and other managerial activities related to managing Laboratory records throughout their life cycle: creation or receipt, maintenance and use, storage and ultimate retention or disposition.

Records Management Point of Contact – The individual who coordinates records management for an organization.

Guidance note: The Records Management Point of Contact may be assigned at the DLD, ALD, PD, Division, Office, or Group level depending on the complexity or quantity of records in their organization.

Records Officer – The responsible individual for overseeing a Laboratory-wide Records Management Program. The IM-5 group leader has this responsibility.

Rights and Interests records - Those records that preserve the legal or financial rights of an organization.

5.0 Implementation Requirements

The records created and received in the normal course of business at the Laboratory are the property of the U.S. Government. At no time shall these records ever be considered personal property. The records management requirements outlined in this LIR shall be implemented to ensure the stewardship of records, including the protection of records from unauthorized destruction or removal.

5.1 DIR/ALDs/ DDs/ODs/and GLs

DIR, ALDs, DDs/ODs and GLs shall

- Ensure implementation of the requirements contained in this LIR for records in their organizations.
- Ensure protection and storage of Laboratory records to mitigate damage or loss of the records.
- Assign a Records Management Point of Contact to provide assistance for

Laboratory Records Management

Los Alamos National Laboratory

Laboratory Implementation Requirement LIR 308-00-02.0

Issue Date: 30 July 2001

Mandatory Document

the management of Laboratory records received in or generated by their organization's workers.

5.2 IM-5 GL

IM-5 Group Leader shall

- Serve as the Laboratory's Records Officer.
- Establish assessment, feedback, and enhancement processes for Laboratory records management.
- Ensure development, issuance, and maintenance of the requirements for the proper implementation of records management at the Laboratory to include:
 - Performing an inventory of Laboratory records.
 - Assigning required records schedules to Laboratory records.
 - Publishing the [DOE approved records schedules \(Click here\)](#) for Laboratory records.
 - Publishing official [records destruction moratoriums \(Click here\)](#) to the Laboratory community.
 - Publishing a Notice when a moratorium is officially rescinded.
- Serve as the Laboratory's official contact for records management with DOE.
- Ensure development and implementation of a Laboratory Records Management Training Program consisting of
 - A records awareness briefing as part of the Laboratory new hire orientation;
 - Records awareness promotions for employees;
 - Periodic training for Records Management Points of Contact.
- Provide assistance to Records Management Points of Contact in ensuring that their organization's rights and interest and emergency operations records are identified, backed up, and stored remotely to ensure business recovery following an emergency or disaster.
- Provide assistance to the Records Management Points of Contact designated by the DDs, ODs, and GLs.
- Provide assistance to employees with reviews, information on retention and disposition schedules or to answer specific questions.

Guidance note: Send questions to records@lanl.gov
- Maintain the official list of Record Management Points of Contact for the Laboratory.

Laboratory Records Management

Los Alamos National Laboratory

Laboratory Implementation Requirement LIR 308-00-02.0

Issue Date: 30 July 2001

Mandatory Document

- Review and approve requests for records disposition.
- Maintain and manage the Laboratory's institutional records center.
- Maintain and manage the institutional Archives and History programs.
- Maintain and manage the DIR official correspondence repository.
- Maintain and manage the Central Weapons Information Center (CWIC) in support of the Nuclear Weapons Program.
- Implement records checkout requirements for terminating employees.

5.3 Records Management Points of Contact

Records Management Points of Contact shall

- Complete training in accordance with the Records Management Training Program. (See section 5.2)
- Provide assistance in records management matters for employees in their organization.
- Ensure that their organization's rights and interests and emergency operations records are identified, backed up when appropriate, and stored remotely to ensure business recovery following an emergency or disaster.
- Coordinate all records management activities in their organizations in consultation with IM-5.
- Assist employees when they move to other Laboratory organizations by transferring custody of the organization's records.
- Assist terminating employees in meeting checkout requirements for Laboratory records.
- Ensure records are destroyed only
 1. with IM-5's concurrence,
 2. using [approved records retention schedules \(Click here\)](#), and
 3. using a [certificate of records destruction \(Click here\)](#)

Guidance note: Note that only one record copy shall be required for retention, i.e., identical multiple copies may be destroyed.

5.4 Employees

Employees shall

- Manage Laboratory records created or received by them in accordance with the requirements contained in this LIR per approved [NARA and DOE records retention schedules \(Click here\)](#) with guidance from IM-5 and their organizational Records Management Point of Contact.
- Coordinate with their Records Management Point of Contact to transfer custody of records when they leave an organization.

Laboratory Records Management

Los Alamos National Laboratory

Laboratory Implementation Requirement LIR 308-00-02.0

Issue Date: 30 July 2001

Mandatory Document

- Destroy records only through their organization's Records Management Point of Contact and with IM-5's concurrence.

5.5

BUS-5

BUS-5 shall

- Ensure that subcontractors maintain and protect Laboratory records by including the requirements contained in this LIR into subcontractor documents governing the terms and conditions between the subcontractor and the Laboratory. (See Section 3.0, Applicability/Scope)

5.6

Facility Managers

Facility Managers shall

- Maintain and protect Laboratory facility records by implementing the requirements contained in this LIR to include,
 1. the [Space and Maintenance Records Schedule \(Click here\)](#),
 2. the [Cartographic, Aerial Photographic, Architectural, and Engineering Records Schedule \(Click here\)](#),
 3. and in [LIR 240-01-01, Facility Configuration Management. \(Click here\)](#)

5.7

Emergency Management and Response Group

The Emergency Management and Response Group shall

- Ensure the maintenance and protection of Laboratory emergency operating records by implementing the requirements contained in this LIR and in [LIR 403-00-01, Los Alamos National Laboratory Emergency Management. \(Click here\)](#)

6.0 References

6.1 Document Ownership

The Information and Records Management Group (IM-5) shall be the Office of Institutional Coordination (OIC) for this document.

6.2 Reference Documents

[UC-DOE Contract, No.W-7405-ENG-36, Section 11.0, Records and Paperwork Management \(Click here\).](#)

[UC-DOE Contract, No.W-7405-ENG-36, Modification M507, Section H.024, Privacy Act Records \(Click here\).](#)

Laboratory Records Management

Los Alamos National Laboratory

Laboratory Implementation Requirement LIR 308-00-02.0

Issue Date: 30 July 2001

Mandatory Document

Los Alamos National Laboratory, [“Quality”, Laboratory Performance Requirement, LPR 308-0-00. \(Click here\)](#)

Los Alamos National Laboratory, [“Facility Configuration Management”, Laboratory Implementation Requirement, LIR 240-01-01. \(Click here\)](#)

Los Alamos National Laboratory, [“LANL Fire Protection Program”, Laboratory Implementation Requirement, LIR 402-910-0. \(Click here\)](#)

Los Alamos National Laboratory, [“Los Alamos National Laboratory Emergency Management”, Laboratory Implementation Requirement, LIR 403-00-01. \(Click here\)](#)

Los Alamos National Laboratory, Information and Records Management Group, [Information Team website \(Click here\)](#)

National Fire Protection Association, NFPA 232, Protection of Records, 2000 Ed.

[44 USC 3301\(Click here\)](#)

7.0 Attachment

Attachment: Recommended Major Implementation Criteria for Self-Assessment

Guidance

7.0 Attachment

Recommended Major Implementation Criteria for Self-Assessment

(Non-Mandatory)	
LIR Title	LIR Number
Laboratory Records Management	LIR 308-00-02.0

The major implementation criteria listed below are provided to assist Laboratory organizations assess their implementation of this LIR. These criteria provide an objective basis for self-assessing implementation of the major requirements contained in the LIR. The LIR also states requirements in other areas, such as, scope, precautions, and responsibilities that, when applied, complement the successful implementation of these major requirements.

1. The most important criterion for assessing the implementation status of this LIR should be, if applicable: Have the requirements contained in the LIR been communicated to the individual(s) responsible for performing the work?
2. In addition, the recommended major implementation criteria for self-assessment of this LIR are the following:
 - The IM-5 Group Leader and IM-5 personnel perform the duties established in this LIR.
 - Each DLD/ALD/DD/PD/OD and GL ensures that Laboratory records are stored and protected in accordance with this LIR (see sections 5.1 and 5.3).
 - BUS-5 ensures that subcontractor records are likewise stored and protected in accordance with this LIR (see section 5.6).
 - Facility Managers ensure that facility records are stored and protected in accordance with this LIR (see section 5.7).
 - EM&R ensures that emergency management and operations records are stored and protected in accordance with this LIR (see section 5.8).